



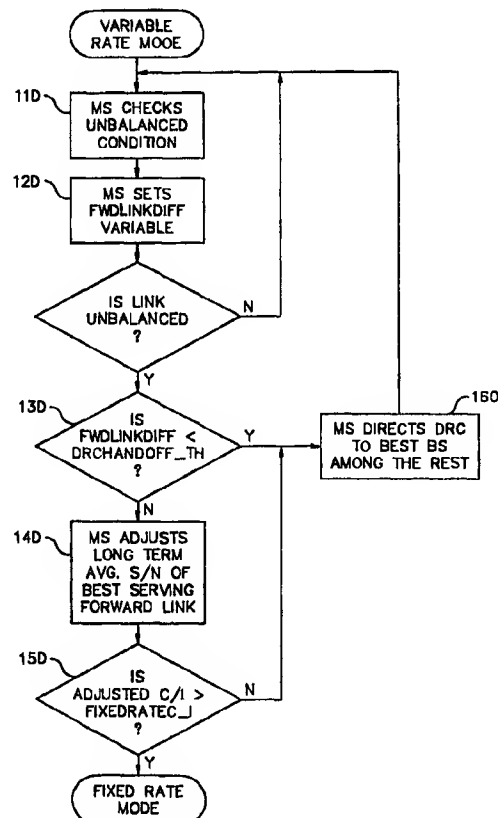
## INTERNATIONAL APPLICATION PUBLISHED UNDER THE PATENT COOPERATION TREATY (PCT)

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<b>(21) International Application Number:</b> PCT/US00/00939 <b>(22) International Filing Date:</b> 14 January 2000 (14.01.00) <b>(30) Priority Data:</b> 09/231,743      15 January 1999 (15.01.99)      US <b>(71) Applicant:</b> QUALCOMM INCORPORATED [US/US]; 5775 Morehouse Drive, San Diego, CA 92121-1714 (US). <b>(72) Inventors:</b> ESTEVES, Eduardo, A., S.; 14005H Mango Drive, Del Mar, CA 92014 (US). PANKAJ, Rajesh, K.; 7356 Park Village Road, San Diego, CA 92129 (US). BLACK, Peter, J.; 8558 Villa La Jolla Drive #258, La Jolla, CA 92037 (US). GROB, Matthew, S.; 2757 Bordeaux Avenue, La Jolla, CA 92037 (US). SINDHUSHAYANA, Nagabhushana, T.; 10615 Dabney Drive #19, San Diego, CA 92126 (US). <b>(74) Agents:</b> OGROD, Gregory, D. et al.; Qualcomm Incorporated, 5775 Morehouse Drive, San Diego, CA 92121-1714 (US).		<b>(81) Designated States:</b> AE, AL, AM, AT, AU, AZ, BA, BB, BG, BR, BY, CA, CH, CN, CR, CU, CZ, DE, DK, DM, EE, ES, FI, GB, GD, GE, GH, GM, HR, HU, ID, IL, IN, IS, JP, KE, KG, KP, KR, KZ, LC, LK, LR, LS, LT, LU, LV, MA, MD, MG, MK, MN, MW, MX, NO, NZ, PL, PT, RO, RU, SD, SE, SG, SI, SK, SL, TJ, TM, TR, TT, TZ, UA, UG, UZ, VN, YU, ZA, ZW, ARIPO patent (GH, GM, KE, LS, MW, SD, SL, SZ, TZ, UG, ZW), Eurasian patent (AM, AZ, BY, KG, KZ, MD, RU, TJ, TM), European patent (AT, BE, CH, CY, DE, DK, ES, FI, FR, GB, GR, IE, IT, LU, MC, NL, PT, SE), OAPI patent (BF, BJ, CF, CG, CI, CM, GA, GN, GW, ML, MR, NE, SN, TD, TG).  <b>Published</b> <i>With international search report.</i> <i>Before the expiration of the time limit for amending the claims and to be republished in the event of the receipt of amendments.</i>

**(54) Title:** METHOD AND APPARATUS FOR VARIABLE AND FIXED FORWARD LINK RATE CONTROL IN A MOBILE RADIO COMMUNICATION SYSTEM

**(57) Abstract**

A method and apparatus for controlling a data rate associated with the transmission of information from a base station (100) to a mobile station (300) in a mobile radio communication system. The mobile station (300) alternately receives information from a basestation (100) either in a variable rate mode or a fixed rate mode. The transmission rate from a base station (600) in the variable rate mode varies between successive data transmit intervals, and the transmission rate from a base station in the fixed rate mode remains fixed between successive data transmit intervals. Data is transmitted from a first base station (400) to the mobile station in the variable rate mode until the first base station is unable to receive the variable data rate control information from the mobile station (300), the mobile station (300) attempts to remain in the variable rate mode by searching for a second base station that will support data transmissions to the mobile station (300) in the variable rate mode and, if the mobile station (300) is able to locate the second base station that will support data transmissions to the mobile station in the variable rate mode, then the second base station transmits data to the mobile station in the variable rate mode and transmissions from the first base station to the mobile station (300) in the variable rate mode terminate. If the mobile station is unable to locate the second base station that will support data transmissions to the mobile station in the variable rate mode, data is transmitted to the mobile station (300) from either the first base station (400) or a different base station in the fixed rate mode.



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**METHOD AND APPARATUS FOR VARIABLE  
AND FIXED FORWARD LINK  
RATE CONTROL IN A MOBILE RADIO  
COMMUNICATION SYSTEM**

5

**BACKGROUND OF THE INVENTION**

**I. Field of the Invention:**

10       The present invention relates generally to mobile radio communication systems. More particularly, the present invention relates to code division multiple access (CDMA) mobile radio communication systems that control the transmission rate of data information signals sent on the forward link from a base station to a mobile unit. Even more  
15 particularly, the present invention relates to a novel and improved system and method for controlling the transmission rate of data on the forward link by alternatively using variable and fixed rate data transmission modes to transmit data from a selected base station to the mobile station.

20       **II. Description of the Related Art:**

      In mobile radio communication systems, there are significant differences between the requirements for providing voice and data services (i.e., non-voice services such as internet or fax transmissions). Unlike data services, voice services require stringent and fixed delays between speech  
25 frames. Typically, the overall one-way delay of speech frames used for transmitting voice information must be less than 100 msec. By contrast, transmission delays that occur during data (i.e., non-voice information) services can vary and larger delays than those that can be tolerated for voice services can be utilized.

30       Another significant difference between voice and data services is that, in contrast to data services, voice services require a fixed and common grade of service. Typically, for digital systems providing voice services, this requirement is met by using a fixed and equal transmission rate for all users and a maximum tolerable error rate for speech frames. For data services, the  
35 grade of service can vary from user to user.

      Yet another difference between voice services and data services is that voice services require a reliable communication link which, in the case of a CDMA communication system, is provided using a soft handoff. A soft

handoff requires the redundant transmission of the same voice information from two or more base stations to improve reliability. This additional reliability is not required to support data services, because data packets received in error can be transmitted.

5       As a mobile station moves in a mobile radio communication system, the quality of the forward link (and the capacity of the forward link to transmit data) will vary. Thus, at some moments a given forward link between a base station and a mobile station will be able to support a very high data transmission and, at other moments, the same forward link may  
10       only be able to support a much reduced data transmission rate. In order to maximize the throughput of information on the forward link, it would be desirable if the transmission of data on the forward link could be varied so as to increase the data rate during those intervals where the forward link can support a higher transmission rate.

15       When non-voice traffic is being sent from a base station to a mobile station on a forward link, it may be necessary to send control information from the mobile station to the base station. At times, however, even though the forward link signal may be strong, the reverse link signal may be weak, thereby resulting in a situation where the base station cannot receive  
20       control information from the mobile station. In such situations, where the forward link and the reverse link are unbalanced, it may be undesirable to increase the transmit power on the reverse link in order to improve the reception quality of the control information at the base station. For example, in CDMA systems, increasing the transmit power on the reverse  
25       link would be undesirable, as such a power increase could adversely affect the reverse link capacity seen by other mobile stations in the system. It would be desirable to have a data transmission system where the forward and reverse links associated with each mobile station were maintained in a balanced state without adversely impacting the reverse link capacity. It  
30       would be further desirable if such a system could maximize the throughput of non-voice data on individual forward links when such links are sufficiently strong to support higher data rates.

## SUMMARY OF THE INVENTION

The present invention is directed to a method and apparatus for controlling a data rate associated with the transmission of information from a base station to a mobile station in a mobile radio communication system. The mobile station alternately receives information from a base station either in a variable rate mode or a fixed rate mode. The transmission rate from a base station in the variable rate mode varies between successive data transmit intervals, and the transmission rate from a base station in the fixed rate mode remains fixed between successive data transmit intervals. In order to maximize throughput on the forward link, the base station preferably uses the variable rate transmission mode to increase the data transmission rate whenever the forward link can support higher rates. The base station monitors control information sent from the mobile station on the reverse link, and the base station uses this control information to indicate to the mobile station when the reverse link is weak and in an unbalanced state with respect to the forward link. When the forward link is operating in the preferred variable rate mode and the mobile station determines that the reverse link is in an unbalanced state, the mobile station first attempts to locate a second base station that can operate in the variable rate mode and support a high data rate to the mobile station. If the mobile station locates such a second base station, then data transmissions continue from the second base station in the variable rate mode; otherwise, data transmissions continue from the first base station or a different base station in the fixed rate mode. The mobile unit then attempts to return to the variable rate mode when there is a forward link that is sufficiently strong to support data transmissions in the variable rate mode.

In a particularly preferred embodiment, data is transmitted from a first base station to the mobile station in the variable rate mode until the first base station is unable to receive variable data rate control information from the mobile station. The variable rate control information includes, for example, the data rate that the base station should use for transmitting data to the mobile station during the next transmit interval. When the first base station is unable to receive the variable data rate control information from the mobile station (thereby indicating that the current forward and reverse links are unbalanced), the mobile station attempts to remain in the variable rate mode by searching for a second base station that will support high data transmissions to the mobile station in the variable rate mode. In order to be selected, the second base station must have a long term average forward link signal to noise ratio that is not significantly less than the long term average signal to noise ratio associated with the forward link from the first base

station. If the mobile station is able to locate the second base station that will support high data transmissions to the mobile station in the variable rate mode, then the second base station transmits data to the mobile station in the variable rate mode and transmissions from the first base station to the mobile station in the variable rate mode terminate. If the mobile station is unable to locate the second base station that will support data transmissions to the mobile station in the variable rate mode, data is transmitted to the mobile station from a designated base station (i.e., either the first base station or a different base station) in the fixed rate mode.

The mobile station will switch from the fixed rate mode back to the variable rate mode either (i) when the designated base station used for transmitting data to the mobile station in the fixed rate mode can again reliably receive the variable rate control information and the forward link signal received at the mobile station from the designated base station has a long term average signal to noise ratio that exceeds a threshold, or (ii) when the mobile station receives a signal from a further base station (other than the designated base station used for transmitting data to the mobile station in the fixed rate mode) with a long term average signal to noise ratio that exceeds by a threshold the long term signal to noise ratio needed on the forward link signal to support data transmissions in the fixed rate mode.

## BRIEF DESCRIPTION OF THE DRAWINGS

The features, objects and advantages of the present invention will become more apparent from the detailed description set forth below when taken in conjunction with the drawings in which like reference characters identify correspondingly throughout and wherein:

Figure 1 depicts the operation of a system for controlling the transmission rate of information from a base station to a mobile station using a variable rate transmission mode, in accordance with a preferred embodiment of the present invention.

Figure 2 depicts the operation of a system for controlling the transmission rate of information from a base station to a mobile station using a fixed rate transmission mode, in accordance with a preferred embodiment of the present invention.

Figure 3 is a block diagram of showing the components of an exemplary mobile station used for implementing the data transmission rate control system of the present invention.

Figure 4 is a block diagram of showing the components of an exemplary base station used for implementing the data transmission rate control system of the present invention.

## 5 DETAILED DESCRIPTION OF THE PREFERRED EMBODIMENTS

In the preferred embodiment of the present, a plurality of base stations send pilot signals to a mobile radio station. The base stations that have pilot signals that are strong enough to be reliably received at the mobile station are referred to as the active set of base stations. In the present invention, only one base station in the active set transmits data traffic (i.e., non-voice information such as internet traffic) to the mobile station on the forward link during a given time slot. In the preferred embodiment, CDMA modulation is used during such a time interval to transmit the data traffic from the single base station to the mobile station.

The present invention uses a variable rate data transmission mode to maximize the throughput of data traffic on the forward link. For purposes of the present invention, a base station is operating to send data to a mobile station in a variable rate transmission mode when the transmission rate of data traffic to the mobile station on the forward link is permitted to vary between successive time slots used for transmitting data from the base station to the mobile station. Thus, for example, if time slots T0, T5 and T10 were used to transmit data traffic from a base station to a mobile station in the variable rate transmission mode, the data traffic could be transmitted on the forward link at, for example, 153.6 Kbps during T0, 307.2 Kbps during T5, and again at 153.6 Kbps during T10. As explained more fully below in connection with Figure 2, when a mobile station is not receiving data traffic from a base station in the variable rate mode, the mobile station may receive data traffic from a base station in a fixed rate mode. In contrast to the variable rate mode, a base station will be deemed to be operating to send data to a mobile station in a fixed rate transmission mode when the transmission rate of data traffic to the mobile station on the forward link is not permitted to vary (and is held fixed) between successive time slots used for transmitting data from the base station to the mobile station.

When operating in the variable rate mode, the mobile station continuously monitors the pilot signal from the base station that is transmitting data traffic to the mobile station. Based on the current and past values of the signal to noise ratio of the pilot signal sent from the base

station, the mobile station predicts the maximum data rate that the forward link can support during the next transmit interval associated with the mobile station. The predicted maximum rate will thus vary as channel conditions vary. The mobile station then sends a quantized value  
5 representative of the predicted maximum data rate to the base station on a data rate control channel. If the base station is able to receive this data rate control message (DRC message) from the mobile station then, in the next time slot for transmitting data to the mobile station, the base station sends data traffic to the mobile station at the requested (i.e., predicted) rate. In  
10 addition, if the base station is able to reliably receive DRC messages from the mobile station on the data rate control channel, the base station sends a balanced state bit (i.e., the bit is set to 0 or 1) to the mobile station indicating that the base station is reliably receiving the DRC messages. The balanced state bit is sent to the mobile station on the forward link periodically and, in  
15 the preferred embodiment, the balanced state bit is sent to the mobile station on the forward link once every 400 msec. For every time slot, the mobile station predicts a new maximum data rate that the forward link can support during the next transmit interval and sends a quantized representation of this predicted value back to the base station as part of a DRC message. In  
20 response, the base station attempts to receive the DRC message from the mobile station and may send data traffic to the mobile station in the next time slot at the new requested rate. This process is then repeated after every time slot in the variable rate mode until, as described below, an unbalanced condition is detected in the system.

25 As mentioned above, when operating the variable rate mode, the mobile station predicts the maximum data rate that the forward link can support during the next transmit interval based on the current and past values of the signal to noise ratio of the pilot signal from the base station sending data to the mobile station. In one embodiment, the mobile station  
30 attempts to predict the maximum data rate that the forward link will be able to support 3 msec in the future. The 3 msec delay is used to account for, among other things, the transmit time required to send the maximum data rate information from the mobile station to a base station. In a particularly preferred embodiment, the mobile station predicts the maximum data rate  
35 for the next transmit interval by (1) calculating long term, medium term and short term average signal to noise ratios for the pilot signal from the base station transmitting data to the mobile station, (2) selecting from these three averages the one average with the smallest standard deviation, and (3) then selecting a maximum data rate that can be supported given the selected

average signal to noise ratio on the forward link. A quantized value representative of the selected maximum data rate is then sent to the base station as part of a DRC message on a data rate control channel. A preferred modulation system for sending DRC messages from a mobile station to a base station is disclosed in U.S. Patent Appl. No. 08/963,386, entitled "Method and Apparatus for High Rate Packet Data Transmission," which is assigned to the assignee of the present application, and the contents of which are hereby incorporated herein in their entirety by reference.

Referring now to Figure 1, there is shown a flow diagram of a method 100 for controlling the transmission rate of information from a base station to a mobile station using a variable rate transmission mode, in accordance with a preferred embodiment of the present invention. When the system is operating in the variable rate mode as described above, the mobile station monitors the state of the balanced state bit periodically received from the base station. If the base station is unable to reliably receive DRC messages on the data rate control channel, then the base station will toggle the value of the next balanced state bit sent to the mobile station, thereby indicating to the mobile station that the system is in an unbalanced state such that the reverse link is unable to support transmission of the data rate information to the base station. In step 110, the mobile station will detect an unbalanced condition when operating in the variable rate mode if it receives two consecutive messages from the base station indicating that the base station is unable to receive DRC messages on the reverse link.

During operation in the variable rate mode, the mobile station continually monitors the pilot signals from all base stations in the active set (including the base station that is currently transmitting to the mobile station on the forward link) and maintains a "long term" average of the signal to noise ratio associated with each such base station. The long term average for each base station is determined by averaging samples of the signal to noise ratio associated with the base station over a period on the order of hundreds of milliseconds. The base station in the active set that is currently sending data to the mobile station is identified as the "best-serving" base station, and the base station in the active set (other than the best-serving base station) with the highest long term average signal to noise ratio is identified as the "second-best serving" base station. During operation in the variable rate mode (step 120), the mobile station maintains a value (FwdLinkDiff) which is the difference between the long term average signal to noise ratio associated with the best serving base station  $(S/N)_{\text{bestBB}}$  and the long term average signal to noise ratio associated with the

second-best serving base station  $(S/N)_{2\text{dbestBB}}$  (i.e.,  $\text{FwdLinkDiff} = (S/N)_{\text{bestBB}} - (S/N)_{2\text{dbestBB}}$ ). In step 130, the mobile station compares the FwdLinkDiff value to a threshold (DRCHandoff\_th) and, if the FwdLinkDiff is less than the threshold, then in step 160 the mobile station continues in the variable rate mode with the second-best serving base station (i.e., the mobile station predicts a new maximum data rate for transmissions from the second-best serving base station and sends a DRC message with this information to the second-best serving base station which attempts to receive the DRC message and send data traffic to the mobile station at the requested rate during the next transmit interval as described above).

If the FwdLinkDiff value is greater than the threshold (DRCHandoff\_th) in step 130, this is an indication that the forward link associated with the second-best serving base station is significantly weaker than the forward link associated with the best-serving base station. The preferred embodiment of the present invention opts in certain cases not to switch the forward link from the best-serving base station to the second-best serving base station in the variable rate mode in cases where the forward link associated with the second-best serving base station is significantly weaker than the forward link associated with the best-serving base station, because the maximum data rate that can be achieved using the second-best serving base station is too low.

In steps 140 and 150, where the FwdLinkDiff value is greater than the threshold (DRCHandoff\_th), the long term average signal to noise ratio associated with the best-serving base station is decremented by a fixed value (FixedRateCtoIDelta), and the adjusted long term signal to noise average associated with the best-serving base station is then compared to a further threshold (FixedRateC\_I). The purpose of adjusting the long term average signal to noise ratio of the best-serving base station downward in step 140 is to compensate for slow fading which the mobile station may be experiencing in connection with transmissions from the best-serving base station, and the FixedRateC\_I threshold represents the minimum value of the long term average signal to noise ratio of the best-serving base station (after adjustment in step 140) required to switch the system out of the variable rate mode and into the fixed rate mode.

If the long-term average signal to noise ratio of the best-serving base station (after adjustment in step 140) does not exceed the FixedRateC\_I value, then in step 160 the mobile station continues in the variable rate mode with the second-best serving base station (i.e., the mobile station predicts a new maximum data rate for transmissions from the second-best

serving base station and sends a DRC message containing this information to the second-best serving base station which attempts to receive the DRC message and send data traffic to the mobile station at the requested rate during the next transmit interval as described above). Remaining in the variable rate mode when the FixedRateC\_I value is not exceeded in step 150 represents a design choice that, in cases where a minimum data rate cannot be achieved by switching to the fixed rate mode, it is preferable to remain in the variable rate mode and operate with a weak (i.e., low data rate) forward link.

10 If the long-term average signal to noise ratio of the best-serving base station (after adjustment in step 140) exceeds the FixedRateC\_I value, then the mobile station uses the adjusted long term average signal to noise ratio of the best-serving base station to calculate a fixed data rate (the "requested fixed rate") that can be supported on the forward link associated with the best-serving base station in the fixed rate mode. The mobile station then attempts to enter the fixed rate mode as described in Figure 2.

Referring now to Figure 2, there is shown a flow diagram of a method 200 for controlling the transmission rate of information from a base station to a mobile station using a fixed rate transmission mode, in accordance with a preferred embodiment of the present invention. In step 210, the mobile station attempts to be placed in the fixed rate mode by sending a FixedModeControl message to the base station controller (which is coupled by a digital link to the base stations in the system) with a FixedRateEnable bit set. This message includes the requested fixed rate at which the mobile station wants to receive data on the forward link and the identity of the base station from which the mobile station wants to receive data in the fixed rate mode. This message is sent using reliable delivery so that, if the base station identified in the FixedModeControl message cannot receive the message on the reverse link associated with that base station, another base station will receive the message from the mobile station and then route the message to the base station controller which will in turn send the message to the base station identified in the FixedModeControl message. After sending this message, the mobile station listens to the base station identified in the FixedModeControl message for any incoming data traffic at the requested fixed data rate. If the mobile station does not receive any valid frame of data traffic from the base station identified in the FixedModeControl message before a fixed-mode counter expires, then the mobile station may either attempt again to enter the fixed rate mode by re-sending the FixedModeControl message as described above or return to the variable rate

mode by using the second best serving base station to continue variable rate transmissions on the forward link. Alternatively, if the mobile station does not receive any valid frame of data traffic from the base station identified in the FixedModeControl message before the fixed-mode counter expires, the  
5 mobile station may simply be placed in a failure state.

In step 220, after the FixedModeControl message is sent, the mobile station starts sending a DRC message using a null cover to the best-serving base station on a data control channel. The DRC message values are ignored in the fixed rate mode for data scheduling purposes but are used to  
10 determine if the conditions are right for leaving the fixed rate mode. While in the fixed rate mode, the base station specified in the FixedRateControl message continues sending data to the mobile station at the fixed rate specified in the FixedRateControl message as if the base station was continuing to receive a DRC message that included the requested fixed rate  
15 from that mobile station. In addition, while in the fixed rate mode, the mobile station monitors: (i) the balanced state bit from the base station sending the fixed rate data to the mobile station (this bit will be set based on whether or not the base station is able to successfully receive the DRC message as described above), and (ii) the long term average signal to noise  
20 ratios associated with all base stations in the active set. This information is used as described below to determine when the time is right for the mobile station to revert back to variable rate mode operation. In the preferred embodiment, once the mobile station enters the fixed rate mode, the mobile station is not permitted to vary the data rate or the base station used for  
25 transmitting data traffic to the mobile station.

In step 230, the mobile station tests to determine whether to exit the fixed rate mode and revert back to the variable rate mode. In the preferred embodiment, the mobile station will exit the fixed rate mode when one of the following two conditions are met: (1) the base station currently  
30 transmitting data traffic to the mobile station has a long term average signal to noise ratio that is above a threshold (VarRateThreshold dB) and the base station currently transmitting data traffic to the mobile station has set the balanced state bit to indicate that the base station is now reliably receiving DRC messages from the mobile station, or (2) another base station in the  
35 active set has a long term average signal to noise ratio at least VarRateThreshold dB above the signal to noise ratio needed to support the fixed rate at which the mobile station is currently receiving data traffic in the fixed rate mode. If either of these conditions is met, then in step 240 the mobile station attempts to exit the fixed rate mode by sending a

FixedModeControl message to the base station controller with the FixedRateEnable field set to 0. If the mobile station receives an acknowledgment of this FixedModeControl message before a counter expires, the mobile station leaves the fixed rate mode by switching its DRC  
5 message to variable rate mode operation and thereafter, the mobile operates in accordance with method 100 in the variable rate mode as described above.

Referring now to Figure 3, there is a block diagram showing the components of an exemplary CDMA mobile station 300 used for implementing the data transmission mode and rate control systems of the  
10 present invention. The mobile station includes an antenna 330 which is coupled through diplexer 332 to analog receiver 334 and transmit power amplifier 336. Antenna 330 and diplexer 332 are of standard design and permit simultaneous reception and transmission through a single antenna. Antenna 330 collects signals transmitted to the mobile station from one or  
15 more base stations and provides the signals through diplexer 332 to analog receiver 334. Receiver 334 is also provided with an analog to digital converter (not shown). Receiver 334 receives RF signals from diplexer 332, amplifies and frequency downconverts the signals, and provides a digitized output signal to digital data receivers 340, 342 and to search receiver 344. It  
20 will be understood that, although in the embodiment in Figure 3 only two digital data receivers are shown, a low performance mobile station might have only a single digital data receiver while higher performance units will have two or more digital data receivers to permit diversity reception. The outputs of receivers 340 and 342 are provided to diversity combiner circuitry  
25 348 which time adjusts the two streams of data received from the receivers 340 and 342, adds the streams together and decodes the result. Details concerning the operation of the digital data receivers 340, 342, the search receiver 344, and the diversity combiner and decoder circuitry 348 are described in U.S. Patent No. 5,101,501 entitled "Method and Apparatus for  
30 Providing A Soft Handoff In Communications In A CDMA Cellular Telephone System", which is assigned to the assignee of the present invention and incorporated herein by reference.

An output signal is provided from the decoder 348 to control processor 346. The output signal from the decoder will include, for example,  
35 any unbalanced state messages received at the mobile station, signal to noise ratio information for signals sent to the mobile station from the base stations in the active set, and acknowledgements of the FixedRateControl message when its FixedRateEnable field is set to 0. In response to this output signal, the control processor 346 determines the content of the DRC

message to send to the appropriate base station or the content of the FixedModeControl message to send to the base station controller (if the mobile station is switching between the variable rate mode and the fixed rate mode). Systems 100 and 200 described above in connection with Figures 1 and 2 are preferably implemented in software on control processor 346. In response to these determinations, control processor 346 sends signals to the transmit modulator 338, which modulates control messages generated at the control processor 346 in accordance with spread spectrum modulation for transmission to the appropriate base station.

Referring now to Figure 4, there is shown a block diagram of the components of an exemplary CDMA base station 400 used for implementing the data transmission mode and rate control system of the present invention. At the base station, two receiver systems are utilized with each having a separate antenna and analog receiver for diversity reception. In each of the receiver systems, the signals are processed identically until the signals undergo a diversity combination process. The elements within the dashed lines correspond to elements corresponding to the communications between the base station and one mobile station. Referring still to Figure 4, the first receiver system is comprised of antenna 460, analog receiver 462, searcher receiver 464 and digital data receivers 466 and 468. The second receiver system includes antenna 470, analog receiver 472, searcher receiver 474 and digital data receiver 476. Cell-site control processor 478 is used for signal processing and control. Among other things, cell site processor 478 monitors the variable and fixed rate control information (i.e., the DRC and FixedModeControl messages) received from a mobile and, in response to the successful receipt of such information, causes the base station to transmit data on the forward link at the specified rates. Cell site processor 478 also functions to cause the base station to send an unbalanced state message to the appropriate mobile station when the base station stops receiving variable rate control information from the mobile station.

Both receiver systems are coupled to diversity combiner and decoder circuitry 480. A digital link 482 is used to communicate signals from and to a base station controller or data router under the control of control processor 478. Signals received on antenna 460 are provided to analog receiver 462, where the signals are amplified, frequency translated and digitized in a process identical to that described in connection with the mobile station analog receiver. The output from the analog receiver 462 is provided to digital data receivers 466 and 468 and searcher receiver 464. The second receiver system (i.e., analog receiver 472, searcher receiver 474 and digital

data receiver 476) process the received signals in a manner similar to the first receiver system. The outputs of the digital data receivers 466, 476 are provided to diversity combiner and decoder circuitry 480, which processes the signals in accordance with a decoding algorithm. Details concerning the operation of the first and second receiver systems and the diversity combiner and decoder 980 are described in U.S. Patent No. 5,101,501 entitled "Method and Apparatus for Providing A Soft Handoff In Communications In A CDMA Cellular Telephone System", incorporated above. Signals for transmission to mobile units are provided to a transmit modulator 484 under the control of processor 478. Transmit modulator 484 modulates the data for transmission to the intended recipient mobile station.

The previous description of the preferred embodiments is provided to enable any person skilled in the art to make or use the present invention. Although the present invention has been described in conjunction with the transmission of data from a base station to a mobile station in a mobile radio communication system, the principles of the present invention may be applied in other contexts and applications. In addition, various modifications to the embodiments described above will be readily apparent to those skilled in the art, and the generic principles defined herein may be applied to other embodiments without the use of inventive faculty. Thus, the present invention is not intended to be limited to the methods and apparatuses shown herein but is to be accorded the widest scope consistent with the claims set forth below.

## CLAIMS

1. In a mobile radio communication system having a plurality of base stations and a mobile station, a method for controlling a data rate associated with transmission of information from one of the base stations to the mobile station, wherein the mobile station receives information from the one base station either in a variable rate mode or a fixed rate mode, the transmission rate of information from the one base station to the mobile station in the variable rate mode varying between successive data transmit intervals associated with the mobile station, and the transmission rate of information from the one base station to the mobile station in the fixed rate mode remaining fixed between successive data transmit intervals associated with the mobile station, comprising the steps of:

(A) transmitting data from a first base station to the mobile station in the variable rate mode until the first base station is unable to receive variable data rate control information from the mobile station;

(B) when the first base station is unable to receive the variable data rate control information from the mobile station, attempting at the mobile station to remain in the variable rate mode by searching for a second base station that will support data transmissions to the mobile station in the variable rate mode and, if the mobile station is able to locate the second base station that will support data transmissions to the mobile station in the variable rate mode, then transmitting data from the second base station to the mobile station in the variable rate mode and terminating the transmission of data from the first base station to the mobile station in the variable rate mode; and

(C) if the mobile station is unable to locate the second base station that will support data transmissions to the mobile station in the variable rate mode, transmitting data to the mobile station from either the first base station or a different base station in the fixed rate mode.

2. The method of claim 1, wherein step (A) further comprises the steps of:

(1) transmitting variable data rate control information from the mobile station to the first base station;

(2) attempting to receive the variable data rate control information at the first base station;

8 (3) if the first base station receives the variable rate control  
information, then selecting at the first base station one of a group of  
10 candidate data rates in response to the variable data rate control  
information, transmitting data from the first base station to the mobile  
12 station at the selected data rate, and then repeating steps (A)(1)-(A)(2) so long  
as the first base station can receive the variable data rate control information  
14 from the mobile station in order to vary the transmission rate of  
information from the first base station to the mobile station between  
successive data transmit intervals associated with the mobile station; and

16 (4) if the first base station is unable to receive the variable data  
rate control information from the mobile station, then sending an  
18 unbalanced state message from the first base station to the mobile station  
indicating that the first base station is unable to successfully receive the  
20 variable data rate control information from the mobile station and  
terminating transmission of data from the first base station to the mobile  
22 station in the variable rate mode.

3. The method of claim 2, wherein step (B) further comprises:

2 (1) selecting, in response to the unbalanced state message, a  
second base station for transmitting data information to the mobile station  
4 and comparing a first signal quality measurement associated with  
transmissions from the first base station to the mobile unit with a second  
6 signal quality measurement associated with transmissions from the second  
base station to the mobile unit; and

8 (2) if the first signal quality measurement does not exceed the  
second signal quality measurement by more than a threshold, then  
10 transmitting data from the second base station to the mobile station in the  
variable rate mode by:

12 (i) selecting at the second base station one of the group of  
candidate data rates in response to variable data rate control information  
14 sent from the mobile station;

(ii) transmitting data from the second base station to the  
16 mobile station at the data rate selected in step (B)(2)(i); and

(iii) repeating steps (B)(2)(i) – (B)(2)(ii) so long as the  
18 second base station can receive the variable data rate control information  
from the mobile station in order to vary the transmission rate of  
20 information from the second base station to the mobile station between  
successive data transmit intervals associated with the mobile station.

4. The method of claim 3, wherein the second base station in step  
2 (B)(1) is selected by selecting from the plurality of base stations the one base  
station having a highest signal quality measurement associated with  
4 transmissions from the mobile station.

5. The method of claim 4, wherein step (C) further comprises: if the  
2 first signal quality measurement is greater than the second signal quality  
measurement by more than the threshold, then transmitting a fixed data  
4 rate control message from the mobile station to a designated base station and  
transmitting data from the designated base station to the mobile unit at a  
6 fixed rate that is determined in accordance with the fixed data rate control  
message.

6. The method of claim 5, wherein step (C) comprises the steps of: if  
2 the first signal quality measurement is greater than the second signal quality  
measurement by more than the threshold then

4 (1) transmitting the fixed data rate control message from the  
mobile station to the first base station;

6 (2) determining a fixed data rate for transmissions from the  
first base station to the mobile station in response to the fixed data rate  
8 control message;

(3) if the fixed data rate determined in step (C)(2) exceeds a  
10 second threshold, then transmitting data from the first base station to the  
mobile station at the fixed data rate determined in step (C)(2); and

12 (4) if the fixed data rate determined in step (C)(2) does not  
exceed the second threshold, then selecting a different base station for  
14 transmitting data to the mobile station in the fixed rate mode, and  
transmitting data in the fixed rate mode from the different base station to  
16 the mobile station at an increased fixed data rate that exceeds the fixed data  
rate determined in step (C)(2).

7. The method of claim 6, wherein the step of selecting the different  
2 base station in step (C)(4) further comprises selecting from the plurality of  
bases stations the one base station having the highest signal quality  
4 measurement associated with transmissions from the mobile station.

8. The method of claim 7, wherein the step of transmitting data in  
2 the fixed rate mode in step (C)(4) further comprises transmitting data from

the base station having the highest signal quality measurement to the  
4 mobile station.

9. The method of claim 8, wherein the increased fixed data rate used  
2 for transmitting data from the base station having the highest signal quality  
measurement is determined based on a value of the highest signal quality  
4 measurement.

10. The method of claim 8, where step (B)(2) further comprises the  
2 step of:

(iv) when the second base station can no longer receive the  
4 variable data rate control information from the mobile station, transmitting  
the unbalanced state message from the second base station to the mobile  
6 station indicating that the second base station is unable to successfully  
receive variable data rate control information from the mobile station.

11. The method of claim 5, further comprising the step of:  
2 (D) switching from the fixed rate mode back to the variable rate mode  
when: (i) the designated base station used for transmitting data to the mobile  
4 station in the fixed rate mode can again reliably receive the variable rate  
control information from the mobile station, and (ii) a forward link signal  
6 received at the mobile station from the designated base station has a long  
term average signal to noise ratio that exceeds a second threshold.

12. The method of claim 5, further comprising the step of:  
2 (D) switching from the fixed rate mode back to the variable rate mode  
when the mobile station receives a signal from a further base station other  
4 than the designated base station used for transmitting data to the mobile  
station in the fixed rate mode with a long term average signal to noise ratio  
6 that exceeds by a third threshold a long term average signal to noise ratio  
needed on the forward link signal to support data transmissions in the fixed  
8 rate mode.

13. In a mobile radio communication system having a plurality of  
2 base stations and a mobile station, an apparatus method for controlling a  
data rate associated with transmission of information from one of the base  
4 stations to the mobile station, wherein the mobile station receives  
information from the one base station either in a variable rate mode or a  
6 fixed rate mode, the transmission rate of information from the one base

station to the mobile station in the variable rate mode varying between  
8 successive data transmit intervals associated with the mobile station, and  
the transmission rate of information from the one base station to the mobile  
10 station in the fixed rate mode remaining fixed between successive data  
transmit intervals associated with the mobile station, comprising:

12 (A) a transmitter at a first base station that transmits data from the  
first base station to the mobile station in the variable rate mode until the  
14 first base station is unable to receive variable data rate control information  
from the mobile station, the transmitter terminating the transmission of  
16 data from the first base station to the mobile station in the variable rate  
mode after the first base station becomes unable to receive variable data rate  
18 control information from the mobile station;

(B) a controller in the mobile station that attempts to maintain  
20 service in the variable rate mode by searching for a second base station that  
will support data transmissions to the mobile station in the variable rate  
22 mode when the first base station is unable to receive the variable data rate  
control information from the mobile station;

24 (C) a transmitter at the second base station, responsive to signals from  
the mobile station, that transmits data from the second base station to the  
26 mobile station in the variable rate mode if the mobile station is able to locate  
the second base station that will support data transmissions to the mobile  
28 station in the variable rate mode;

(D) a transmitter at either the first base station or a different base  
30 station that transmits data to the mobile station in the fixed rate mode if the  
mobile station is unable to locate the second base station that will support  
32 data transmissions to the mobile station in the variable rate mode.

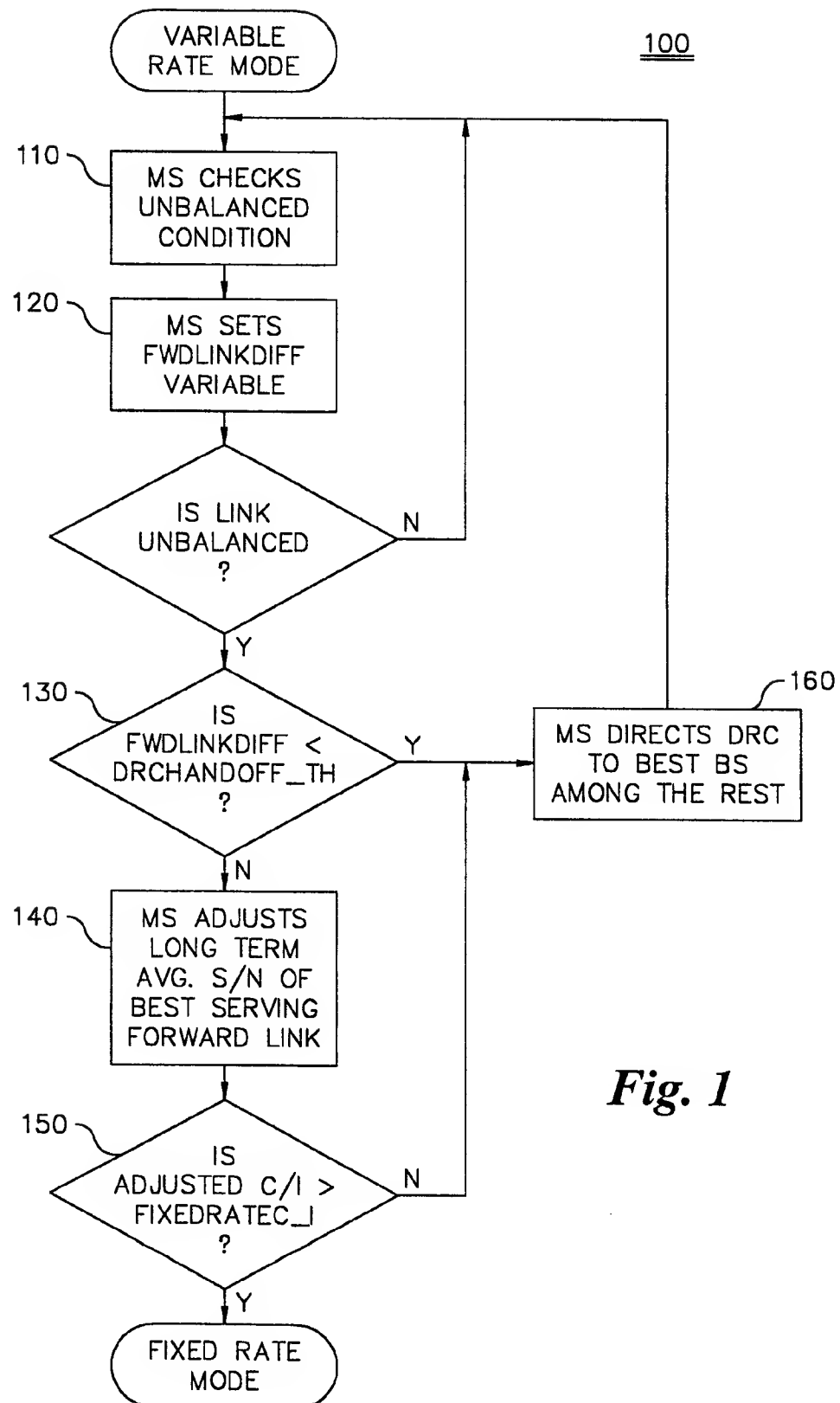
14. In a mobile radio communication system having a plurality of  
2 base stations and a mobile station, an apparatus method for controlling a  
data rate associated with transmission of information from one of the base  
4 stations to the mobile station, wherein the mobile station receives  
information from the one base station either in a variable rate mode or a  
6 fixed rate mode, the transmission rate of information from the one base  
station to the mobile station in the variable rate mode varying between  
8 successive data transmit intervals associated with the mobile station, and  
the transmission rate of information from the one base station to the mobile  
10 station in the fixed rate mode remaining fixed between successive data  
transmit intervals associated with the mobile station, comprising:

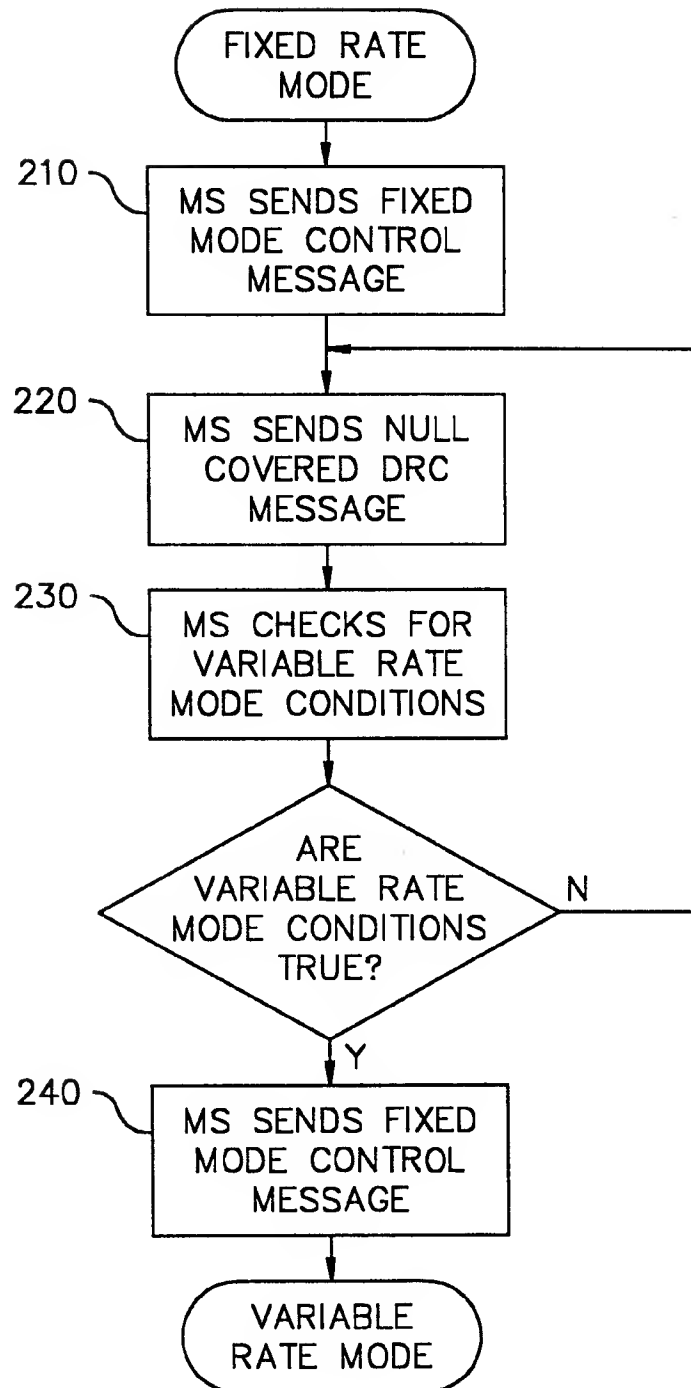
12 (A) means for transmitting data from the first base station to the  
mobile station in the variable rate mode until the first base station is unable  
14 to receive variable data rate control information from the mobile station,  
the means for terminating the transmission of data from the first base  
16 station to the mobile station in the variable rate mode after the first base  
station becomes unable to receive variable data rate control information  
18 from the mobile station;

(B) means for controlling the mobile station, wherein the means for  
20 controlling attempts to maintain service in the variable rate mode by  
searching for a second base station that will support data transmissions to  
22 the mobile station in the variable rate mode when the first base station is  
unable to receive the variable data rate control information from the mobile  
24 station;

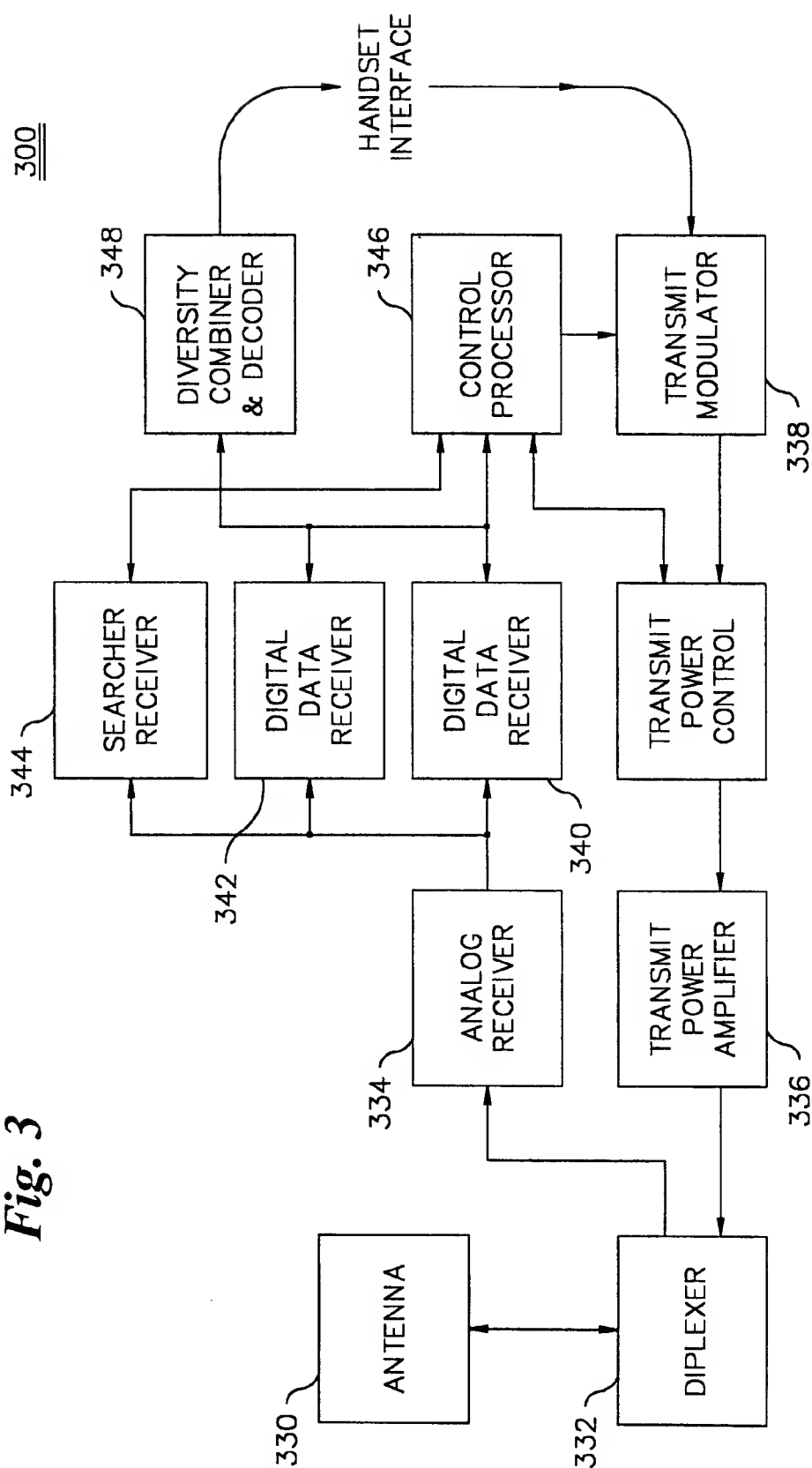
(C) means for transmitting data from the second base station to the  
26 mobile station in the variable rate mode if the mobile station is able to locate  
the second base station that will support data transmissions to the mobile  
28 station in the variable rate mode;

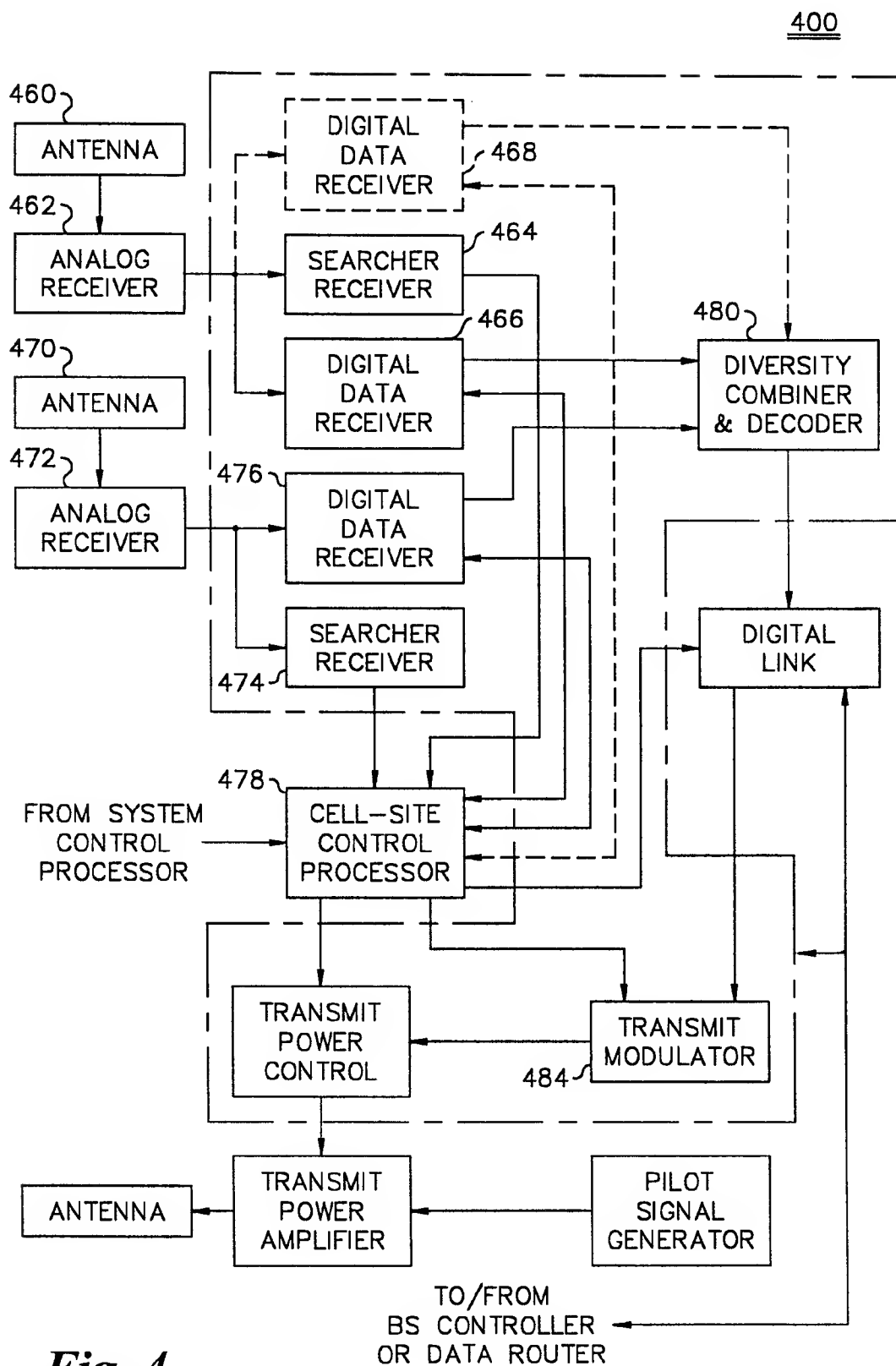
(D) means for transmitting data from either the first base station or a  
30 different base station to the mobile station in the fixed rate mode if the  
mobile station is unable to locate the second base station that will support  
32 data transmissions to the mobile station in the variable rate mode.

*Fig. 1*

200*Fig. 2*

**Fig. 3**





## INTERNATIONAL SEARCH REPORT

Internat I Application No

PCT/US 00/00939

**A. CLASSIFICATION OF SUBJECT MATTER**  
IPC 7 H04Q7/38

According to International Patent Classification (IPC) or to both national classification and IPC

**B. FIELDS SEARCHED**

Minimum documentation searched (classification system followed by classification symbols)

IPC 7 H04Q H04B H04L

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

Electronic data base consulted during the international search (name of data base and, where practical, search terms used)

**C. DOCUMENTS CONSIDERED TO BE RELEVANT**

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A	WO 96 10320 A (NOKIA TELECOMMUNICATIONS OY ; JOKINEN HARRI (FI); POSTI HARRI (FI);) 4 April 1996 (1996-04-04) page 13, line 1 -page 17, line 11 ---	1-14
A	EP 0 472 511 A (ERICSSON TELEFON AB L M) 26 February 1992 (1992-02-26) column 3, line 35 - line 57 column 8, line 18 -column 11, line 26 --- -/--	1-14



Further documents are listed in the continuation of box C.



Patent family members are listed in annex.

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"O" document referring to an oral disclosure, use, exhibition or other means

"P" document published prior to the international filing date but later than the priority date claimed

"T" later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention

"X" document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone

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"&amp;" document member of the same patent family

Date of the actual completion of the international search

14 June 2000

Date of mailing of the international search report

20/06/2000

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Authorized officer

Larcinese, A

# INTERNATIONAL SEARCH REPORT

Internat / Application No

PCT/US 00/00939

## C.(Continuation) DOCUMENTS CONSIDERED TO BE RELEVANT

Category °	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
A	<p>BAIER A ET AL: "MULTI-RATE DS-CDMA RADIO INTERFACE FOR THIRD-GENERATION CELLULAR SYSTEMS"</p> <p>IEE EUROPEAN CONFERENCE ON MOBILE AND PERSONAL COMMUNICATIONS, XX, XX, 13 December 1993 (1993-12-13), pages 255-260, XP000610288</p> <p>page 258, left-hand column, line 29 -page 259, left-hand column, line 20</p> <p style="text-align: center;">-----</p>	1-14

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